

01/17/02

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JCS55 U.S. PTO

Please type a plus sign [+] inside this box

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional application under 37 C.F.R. § 1.53(b))

|                          |   |
|--------------------------|---|
| Attorney Docket No.      | IN-5421   |
| First Named Inventor     | Valerie L. CRUMLEY, et al   |
| Filing Date              | Thursday, January 17, 2002  |
| Title                    | BASECOAT COATING COMPOSITION HAVING LOW VOLATILE ORGANIC CONTENT AND COMPOSITE COATING PREPARED THEREFROM |
| Express Mail Certificate | EH799045256US   |

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

**ADDRESS TO:** Assistant Commissioner for Patents  
Box Patent Application, Washington, DC 20231

1. ☒ **Fee Transmittal Form (e.g. PTO/SB/17)**  
(Submit an original and a duplicate for fee processing)

2. ☐ **Applicant claims small entity status.**  
See 37 CFR 1.27.

3. ☒ **Specification** [Total Pages  ]  
(preferred arrangement set forth below)  
- Descriptive title of the invention  
- Cross References to Related Application  
- Statement Regarding Fed sponsored R & D  
- Reference to Microfiche Appendix  
- Background of the invention  
- Background of the invention  
- Background of the invention  
- Brief Summary of the invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure

4. ☐ **Drawing(s)** (35 U.S.C.113) [Total Sheets  ]

5. ☒ **Oath or Declaration** [Total Sheets  ]  
a. ☒ **Newly executed (original or copy)**  
b. ☐ **Copy from a prior application (37 CFR § 1.63(d))**  
(for continuation/divisional with Box 17 completed)  
i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting

6. ☒ **Application Data Sheet.** See 37 CFR 1.76

7. ☐ **CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)**

8. **Nucleotide and/or Amino Acid Sequence Submission**  
(if applicable, all necessary)  
a. ☐ **Computer Readable Form (CRF)**  
b. **Specification Sequence Listing on:**  
i. ☐ **CD-ROM or CD-R (2 copies); or**  
ii. ☐ **paper**  
c. ☐ **Statements verifying identity of above copies**

**ACCOMPANYING APPLICATION PARTS**

9. ☒ **Assignment Papers (cover sheet & document(s))** ✓

10. ☒ **37 CFR§3.73(b) Statement** ☒ **Power Of Attorney**  
(when there is an assignee)

11. ☐ **English Translation Document (if applicable)**

12. ☒ **Information Disclosure Statement (IDS)/ PTO-1449** ☒ **Copies of IDS Citations**

13. ☐ **Preliminary Amendment**

14. ☒ **Return Receipt Postcard (MPEP 503)**  
(Should be specifically itemized)

15. ☐ **Certified Copy of Priority Document(s)**  
(if foreign priority is claimed)

16. ☐ **other:** .....

17. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment;

☐ **Continuation** ☐ **Divisional** ☐ **Continuation-in-part (CIP)** of prior application No. 0 filed on .....

**Prior application information:** Examiner \_\_\_\_\_ Group/Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application from which an oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS**

☒ **Customer Number or Bar Code Label** or ☐ **Correspondence address below**



|                   |                         |           |                                   |      |                  |
|-------------------|-------------------------|-----------|-----------------------------------|------|------------------|
| Country           | USA                     | Telephone | (248) 948-2021                    | Fax  | (248) 948-2093   |
| Name (print Type) | Anne Gerry Sabourin     |           | Registration No. (Attorney Agent) |      | 33,772           |
| Signature         | <i>Anne G. Sabourin</i> |           |                                   | Date | January 17, 2002 |

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**FEE TRANSMITTAL**

Patent fees are subject to annual  
revision on October 1.  
These are the fees effective October 1, 2001

|                          |   |
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| Express Mail Certificate | EH799045256US   |

**TOTAL AMOUNT OF PAYMENT** \$924.00**METHOD OF PAYMENT**

1. ☒ The Commissioner is hereby authorized to change indicated fees and credit any over payments to:

Deposit Account Number **23-3425**Deposit Account Name **BASF Corporation**

- ☒ Change Any Additional Fee ☒ Charge the Issue Fee Set in 37 CFR §  
Required Under 37 CFR §§ 1.16 and 1.17 1.18 at the Mailing of the Notice of Allowance

2. ☐ Payment Enclosed:

☐ Check ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code Entity Fee (\$)

|          |     |                        |          |
|----------|-----|------------------------|----------|
| 101      | 740 | Utility filing fee     | \$740.00 |
| 106      | 330 | Design filing fee      |          |
| 107      | 540 | Plant filing fee       |          |
| 108      | 790 | Reissue filing fee     |          |
| 114      | 160 | Provisional filing fee |          |
| SUBTOTAL |     |                        | \$740.00 |
| (2)      |     |                        |          |

**2. EXTRA CLAIM FEES**

|                    |    | Extra Claims | Fee from below | Fee Paid   |
|--------------------|----|--------------|----------------|------------|
| Total Claims       | 30 | -20** = 08   | x 18           | = \$144.00 |
| Independent Claims | 01 | -3** =       | x 84           | =          |
| Multiple Dependent |    |              | 280            | =          |

\*\*Or number previously paid, if greater; For Reissues, see below

| Large Fee Code | Entity Fee (\$) |   |
|----------------|-----------------|---|
| 103            | 18              | Claims in excess of 20                                    |
| 102            | 80              | Independent claims in excess of 3                         |
| 104            | 270             | Multiple dependent claims, if not paid                    |
| 109            | 82              | **Reissue independent claims over original patent         |
| 110            | 22              | **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$144.00)

**FEE CALCULATION****3. ADDITION FEES**

| Large Fee Code      | Entity Fee (\$) | Fee Description   | Fee Paid |
|---------------------|-----------------|---|----------|
| 105                 | 130             | Surcharge -late filing fee or oath  |          |
| 127                 | 50              | provisional ailing or cover sheet   |          |
| 139                 | 130             | Non-English specification   |          |
| 147                 | 2,520           | For filing request for examination  |          |
| 112                 | 920*            | Requesting publication of SIR prior to Examiner action                    |          |
| 113                 | 1,840           | Requesting publication of SIR after Examiner action                       |          |
| 115                 | 110             | Extension for reply within first month                                    |          |
| 116                 | 400             | Extension for reply within second month                                   |          |
| 117                 | 920             | Extension for reply within third month                                    |          |
| 118                 | 1,440           | Extension for reply within fourth month                                   |          |
| 128                 | 1,960           | Extension for reply within fifth month                                    |          |
| 119                 | 320             | Notice of Appeal  |          |
| 120                 | 320             | Filing a brief in support of an appeal                                    |          |
| 121                 | 270             | Request for oral hearing  |          |
| 138                 | 1,510           | Petition to institute a public use proceeding                             |          |
| 140                 | 110             | Petition to revive-unavoidable  |          |
| 141                 | 1,280           | Petition to revive-unintentional  |          |
| 142                 | 1,280           | Utility issue fee (or reissue)  |          |
| 143                 | 450             | Design issue fee  |          |
| 144                 | 670             | Plant issue fee   |          |
| 122                 | 130             | Petition to the Commissioner  |          |
| 123                 | 50              | Petition related to provisional application                               |          |
| 126                 | 240             | Submission of information Disclosure Statement                            |          |
| 581                 | 40              | Recording each patent Assignment per property (time number of properties) | \$40.    |
| 146                 | 790             | Filing a submission after final rejection                                 |          |
| 149                 | 790             | For each additional invention to be examined (37 CFR 1.129(b))            |          |
| Other fee (specify) |                 |   |          |

\*Reduced By Basic Fee Paid Filing SUBTOTAL(3) \$40.

**18. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label**26922**

PATENT-TRADEMARK OFFICE

or ☐ Correspondence address below

|                   |                         |                                   |                |      |                  |
|-------------------|-------------------------|-----------------------------------|----------------|------|------------------|
| Country           | USA                     | Telephone                         | (248) 948-2021 | Fax  | (248) 948-2093   |
| Name (print Type) | Anne Gerry Sabourin     | Registration No. (Attorney Agent) | 33,772         |      |                  |
| Signatur          | <i>Anne G. Sabourin</i> |                                   |                | Date | January 17, 2002 |

**PATENT**

(Practitioner's Docket No. IN-5421)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of

Valerie L. CRUMLEY, Patricia G.  
O'CALLAGHAN and Timothy P.  
KANDOW

US Serial No. Herewith

Group Art Unit: Not Assigned

Filed: Thursday, January 17, 2002

Examiner: Not Assigned

For: BASECOAT COATING COMPOSITION HAVING LOW VOLATILE ORGANIC  
CONTENT AND COMPOSITE COATING PREPARED THEREFROM

Commissioner of Patents  
Washington, D.C. 20231

**EXPRESS MAIL CERTIFICATE**

"Express Mail" label number **EH799045256US** Date of Deposit **January 17, 2002**

I hereby certify that the following attached paper or fee

☒ Combined Declaration and Power of Attorney on ☐ 04 pages

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)

  
Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g.

complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. if the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.

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PATENT

(Practitioner's Docket No. IN-5421)

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☒ Patent Application Data Sheet

☐ 01 pages

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Examiner: Not Assigned

For: BASECOAT COATING COMPOSITION HAVING LOW VOLATILE ORGANIC  
CONTENT AND COMPOSITE COATING PREPARED THEREFROM

Patent\*: Issue Date

Reexamination No.: Issue Date

Reissue: Issue Date

\*NOTE: Insert name(s) of inventor(s) and title for patent.

Assistant Commissioner for Patents  
Washington, D.C. 20.231

**STATEMENT UNDER 37 C.F.R. § 3.73(b)-  
ESTABLISHING RIGHT OF ASSIGNEE TO TAKE ACTION**

**CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10\***  
(When using Express Mail, the Express Mail label number is mandatory;  
Express Mail certification optional.)

I hereby certify that, on the date shown below, this correspondence is being:

**MAILING**

☐ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner  
for Patents, Washington, D.C. 20231

**37 C.F.R. § 1.8(a)**

**37 C.F.R. § 1.10\***

☐ with sufficient postage as first class mail.

☒ as "Express Mail Post Office to Addressee"  
Mailing Label No: **E H799045256US** (mandatory)

**TRANSMISSION**

☐ transmitted by facsimile to the Patent and Trademark Office.

Date: January 17, 2002

Signature

Marjorie Ellis

(type or print name of person certifying)

(Statement under 37 C.F.R. § 3.73(b) - Establishing Right of Assignee to Take Action [16-16]-page1)

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(Practitioner's Docket No. IN-5421)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## In re Application of

Valerie L. CRUMLEY, Patricia G. O'CALLAGHAN and Timothy P. KANDOW

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**Group Art Unit: Not Assigned**

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**Commissioner of Patents**  
**Washington, D.C. 20231**

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"Express Mail" label number **EH799045256US** Date of Deposit **January 17, 2002**

I hereby certify that the following attached paper or fee

|   |                                  |
|---|----------------------------------|
| x | Information Disclosure Statement |
| x | Form PTO-1449                    |
| x | Cited Reference(s)               |

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**Marjorie Ellis**

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Maizoni Eer.  
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